

## CERTIFICATE OF MAILING UNDER 37 C.F.R. §1.8

I hereby certify that this correspondence is being deposited with the United States Postal Service as first class mail, with sufficient postage, in an envelope addressed to: Commissioner for Patents, P. O. Box 1450, Alexandria, VA 22313-1450, on the below date:

Date: July 1, 2004

Name: Susan D. Reinecke

Signature:

BRINKS  
HOFER  
GILSON  
& LIONE

## IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re Appln. of: Gail Ellen McGiffin, et al.

Appln. No.: 10/783,841

Filed: February 20, 2004

For: ACCOUNT LEVEL PARTICIPATION FOR  
UNDERWRITING COMPONENTS

Examiner:

Art Unit: 3624

Attorney Docket No: 10022/444

Application Processing Division  
Customer Correction Branch  
Commissioner for Patents  
P. O. Box 1450  
Alexandria, VA 22313-1450

## TRANSMITTAL

Sir:

## Attached is/are:

- ☒ Request for Correction of Filing Receipt (in dup.); copy of Filing Receipt  
☒ Return Receipt Postcard

## Fee calculation:

- ☒ No additional fee is required.  
☐ Small Entity.  
☐ An extension fee in an amount of \$\_\_\_\_\_ for a \_\_\_\_\_-month extension of time under 37 C.F.R. § 1.136(a).  
☐ A petition or processing fee in an amount of \$\_\_\_\_\_ under 37 C.F.R. § 1.17(\_\_\_\_).  
☐ An additional filing fee has been calculated as shown below:

					Small Entity			Not a Small Entity	
	Claims Remaining After Amendment		Highest No. Previously Paid For	Present Extra	Rate	Add'l Fee	or	Rate	Add'l Fee
Total		Minus			x \$9=			x \$18=	
Indep.		Minus			x 43=			x \$86=	
First Presentation of Multiple Dep. Claim					+\$145=			+\$290=	
					Total	\$		Total	\$

## Fee payment:

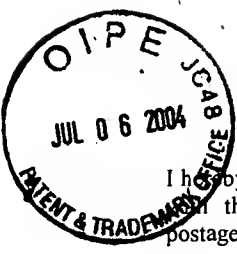
- ☐ A check in the amount of \$\_\_\_\_\_ to cover the above-identified fee(s) is enclosed.  
☐ Please charge Deposit Account No. 23-1925 in the amount of \$\_\_\_\_\_. A copy of this Transmittal is enclosed for this purpose.  
☐ Payment by credit card in the amount of \$\_\_\_\_\_ (Form PTO-2038 is attached).  
☒ The Director is hereby authorized to charge payment of any additional filing fees required under 37 CFR § 1.16 and any patent application processing fees under 37 CFR § 1.17 associated with this paper (including any extension fee required to ensure that this paper is timely filed), or to credit any overpayment, to Deposit Account No. 23-1925.

Respectfully submitted,

  
Susan D. Reinecke, Registration No. 40,198

July 1, 2004  
Date

DFW



I hereby certify that this correspondence is being deposited in the United States Postal Service, with sufficient postage, as first class mail in an envelope addressed to:

Commissioner for Patents  
Washington, D.C. 20231  
on July 1, 2004

\_\_\_\_\_  
Date of Deposit

\_\_\_\_\_  
Susan D. Reinecke

\_\_\_\_\_  
Name of applicant, assignee or  
Registered Representative.

\_\_\_\_\_  
*Susan D. Reinecke*  
Signature

\_\_\_\_\_  
July 1, 2004

\_\_\_\_\_  
Date of Signature

Our Case No. 10022/444

**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

In re Application of:

Gail Ellen McGiffin, et al.

Examiner

Serial No. 10/783,841

Group Art Unit No. 3624

Filing Date: February 20, 2004

For ACCOUNT LEVEL  
PARTICIPATION FOR  
UNDERWRITING COMPONENTS

**REQUEST FOR CORRECTION OF FILING RECEIPT**

Commissioner for Patents  
Washington, D.C. 20231

Attention: Application Processing Division  
Customer Correction Branch

Sir:

Applicant requests the issuance of a Corrected Filing Receipt (copy enclosed) for the above-referenced patent application, and in support of this request respectfully states:


Applicant inadvertently listed the Attorney Docket Number incorrectly on the documents filed with the above-referenced patent application. The

Filing Receipt issued by the Patent and Trademark Office includes the incorrect Attorney Docket Number 10022/444 (01509-01/US). A copy of the Filing Receipt is enclosed. The Attorney Docket No. should read: **10022/444 (01557-00-US)**.

Therefore, it is respectfully requested that the Attorney Docket Number be revised in the Patent and Trademark Office's records to reflect the correct Attorney Docket Number **10022/444 (01557-00-US)**.

The Commissioner is hereby authorized to charge any fees required to Deposit Account No. 23-1925. A duplicate copy of this sheet is enclosed.

Respectfully submitted,

  
Susan D. Reinecke  
Registration No. 40,198

BRINKS HOFER GILSON & LIONE  
P.O. BOX 10395  
CHICAGO, ILLINOIS 60610  
(312) 321-4200



## UNITED STATES PATENT AND TRADEMARK OFFICE

UNITED STATES DEPARTMENT OF COMMERCE  
 United States Patent and Trademark Office  
 Address: COMMISSIONER FOR PATENTS  
 P.O. Box 1450  
 Alexandria, Virginia 22313-1450  
 www.uspto.gov

JUL 06 2004

APPL NO.	FILING OR 371 (c) DATE	ART UNIT	FIL FEE REC'D	ATTY. DOCKET NO	DRAWINGS	TOT CLMS	IND CLMS
10/783,841	02/20/2004	3510	856	10022/444 (01509-01/US)	20	20	4

CONFIRMATION NO. 7513

## FILING RECEIPT



\*OC000000012672847\*

28164

ACCENTURE CHICAGO 28164  
 BRINKS HOFER GILSON & LIONE  
 P O BOX 10395  
 CHICAGO, IL 60610

Date Mailed: 05/14/2004

Receipt is acknowledged of this regular Patent Application. It will be considered in its order and you will be notified as to the results of the examination. Be sure to provide the U.S. APPLICATION NUMBER, FILING DATE, NAME OF APPLICANT, and TITLE OF INVENTION when inquiring about this application. Fees transmitted by check or draft are subject to collection. Please verify the accuracy of the data presented on this receipt. If an error is noted on this Filing Receipt, please write to the Office of Initial Patent Examination's Filing Receipt Corrections, facsimile number 703-746-9195. Please provide a copy of this Filing Receipt with the changes noted thereon. If you received a "Notice to File Missing Parts" for this application, please submit any corrections to this Filing Receipt with your reply to the Notice. When the USPTO processes the reply to the Notice, the USPTO will generate another Filing Receipt incorporating the requested corrections (if appropriate).

## Applicant(s)

Gail Ellen McGiffin, Residence Not Provided;  
 Jason Andrew Birdsell, Residence Not Provided;  
 Jeffery Richard Rauch, Residence Not Provided;  
 Devdas Nandan, Residence Not Provided;  
 Patrick J. Corless, Residence Not Provided;

Domestic Priority data as claimed by applicant

Foreign Applications

If Required, Foreign Filing License Granted: 05/14/2004

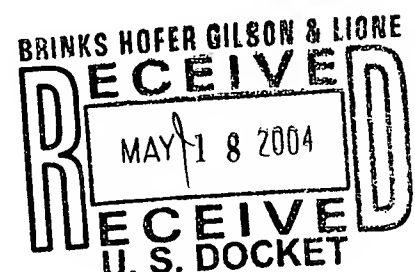
Projected Publication Date: Request for Non-Publication Acknowledged

Non-Publication Request: Yes

Early Publication Request: No

Title

Account level participation for underwriting components



Preliminary Class  
705

**LICENSE FOR FOREIGN FILING UNDER  
Title 35, United States Code, Section 184  
Title 37, Code of Federal Regulations, 5.11 & 5.15**

**GRANTED**

The applicant has been granted a license under 35 U.S.C. 184, if the phrase "IF REQUIRED, FOREIGN FILING LICENSE GRANTED" followed by a date appears on this form. Such licenses are issued in all applications where the conditions for issuance of a license have been met, regardless of whether or not a license may be required as set forth in 37 CFR 5.15. The scope and limitations of this license are set forth in 37 CFR 5.15(a) unless an earlier license has been issued under 37 CFR 5.15(b). The license is subject to revocation upon written notification. The date indicated is the effective date of the license, unless an earlier license of similar scope has been granted under 37 CFR 5.13 or 5.14.

- This license is to be retained by the licensee and may be used at any time on or after the effective date thereof unless it is revoked. This license is automatically transferred to any related applications(s) filed under 37 CFR 1.53(d). This license is not retroactive.

The grant of a license does not in any way lessen the responsibility of a licensee for the security of the subject matter as imposed by any Government contract or the provisions of existing laws relating to espionage and the national security or the export of technical data. Licensees should apprise themselves of current regulations especially with respect to certain countries, of other agencies, particularly the Office of Defense Trade Controls, Department of State (with respect to Arms, Munitions and Implements of War (22 CFR 121-128)); the Office of Export Administration, Department of Commerce (15 CFR 370.10 (j)); the Office of Foreign Assets Control, Department of Treasury (31 CFR Parts 500+) and the Department of Energy.

**NOT GRANTED**

No license under 35 U.S.C. 184 has been granted at this time, if the phrase "IF REQUIRED, FOREIGN FILING LICENSE GRANTED" DOES NOT appear on this form. Applicant may still petition for a license under 37 CFR 5.12, if a license is desired before the expiration of 6 months from the filing date of the application. If 6 months has lapsed from the filing date of this application and the licensee has not received any indication of a secrecy order under 35 U.S.C. 181, the licensee may foreign file the application pursuant to 37 CFR 5.15(b).